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Sheet 1 of 3

Substitute Form PTO-1449  
(Modified)U.S. Department of Commerce  
Patent and Trademark OfficeAttorney's Docket No.  
14875-141US1Application No.  
10/530,696**Information Disclosure Statement  
by Applicant**

(Use several sheets if necessary)

(37 CFR §1.98(b))

Applicant  
Shuji Ozaki et al.Filing Date  
October 28, 2005Group Art Unit  
1643**U.S. Patent Documents**

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
AMG	AA	5,877,291	04/20/1995	Mezes et al.			
	AB	6,323,000	11/07/2001	Briggs et al.			
	AC	6,342,220	01/29/2002	Adams et al.			
	AD	6,683,157	01/27/2004	Briggs et al.			
	AE	2001/0006796	07/05/2001	Briggs et al.			
	AF	2002/0193571	12/19/2002	Carter et al.			
	AG	2003/0073161	04/17/2003	Briggs et al.			
	AH	2004/0091475	05/13/2004	Tsuchiya et al.			
	AI	2004/0242847	12/02/2004	Fukushima et al.			
	AJ	2006/0189794	08/24/2006	Tsuchiya et al.			
AMG	AK	2006/0222643	10/05/2006	Tsunoda et al.			

**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
AMG	AL	JP 7-503622	04/20/1995	Japan			See AA	
	AM	JP 2001/506135	05/15/2001	Japan			See AE	
	AN	JP 2001/513999	09/11/2001	Japan			See AC	
	AO	WO 97/31108	08/28/1997	WIPO			English abstract	
	AP	WO 98/28331	07/02/1998	WIPO				
	AQ	WO 99/02567	01/21/1999	WIPO				
	AR	WO 99/10494	03/04/1999	WIPO				
	AS	WO 01/64713	09/07/2001	WIPO				
	AT	WO 01/66737	09/13/2001	WIPO			English abstract	
	AU	WO 01/79494	10/25/2001	WIPO			English abstract	
	AV	WO 02/33072	04/25/2002	WIPO			See AG	
	AW	WO 02/33073	04/25/2002	WIPO			See AH	
AMG	AX	WO 2004/081048	09/23/2004	WIPO			X	

Examiner Signature

/Anne Gussow/

Date Considered

12/08/2006

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Disclosure Form (PTO-1449)

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. <b>14875-141US1</b>	Application No. <b>10/530,696</b>
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant <b>Shuji Ozaki et al.</b>	
		Filing Date <b>October 28, 2005</b>	Group Art Unit <b>1643</b>

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
AMG	AY	WO 2004/087763	10/14/2004	WIPO			X	

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
AMG	AZ	Ballmaier et al., "c-mpl mutations are the cause of congenital amegakaryocytic thrombocytopenia," <i>Blood</i> , 97:139-146 (2001)
	AAA	Brinkmann et al., "FTY720: targeting G-protein-coupled receptors for sphingosine 1-phosphate in transplantation and autoimmunity," <i>Curr. Opin. Immunol.</i> , 14:569-575 (2002)
	ABB	Bruenke et al., "A recombinant bispecific single-chain Fv antibody against HLA class II and FcγRIII (CD16) triggers effective lysis of lymphoma cells," <i>Br. J. Haematol.</i> , 125:167-179 (2004)
	ACC	Clark, "CD22, a B Cell-Specific Receptor, Mediates Adhesion and Signal Transduction," <i>J. Immunol.</i> , 150:4715-4718 (1993)
	ADD	Co et al., "A Humanized Antibody Specific for the Platelet Integrin gpIIb/IIIa," <i>J. Immunol.</i> , 152:2968-2976 (1994)
	AEE	Deng et al., "An Agonist Murine Monoclonal Antibody to the Human c-Mpl Receptor Stimulates Megakaryocytopoiesis," <i>Blood</i> , 92:1981-1988 (1998)
	AFF	Ebert et al., "Expression of Metallothionein II in Intestinal Metaplasia, Dysplasia, and Gastric Cancer," <i>Cancer Res.</i> , 60:1995-2001 (2000)
	AGG	Elliott et al., "Activation of the Erythropoietin (EPO) Receptor by Bivalent Anti-EPO Receptor Antibodies," <i>J. Biol. Chem.</i> , 271:24691-24697 (1996)
	AHH	Ghetie et al., "Homodimerization of tumor-reactive monoclonal antibodies markedly increases their ability to induce growth arrest or apoptosis of tumor cells," <i>Proc. Natl. Acad. Sci. USA</i> , 94:7509-7514 (1997)
	AII	Goel et al., " <sup>99m</sup> Tc-Labeled Divalent and Tetravalent CC49 Single-Chain Fv's: Novel Imaging Agents for Rapid In Vivo Localization of Human Colon Carcinoma," <i>J. Nucl. Med.</i> , 42:1519-1527 (2001)
	AJJ	Goel et al., "Genetically Engineered Tetravalent Single-Chain Fv of the Pancarcinoma Monoclonal Antibody CC49: Improved Biodistribution and Potential for Therapeutic Application," <i>Cancer Res.</i> , 60:6964-6971 (2000)
	AKK	Hudson et al., "High avidity scFv multimers; diabodies and triabodies," <i>J. Immunol. Methods</i> , 231:177-189 (1999)
	ALL	Kipriyanov et al., "Effect of Domain Order on the Activity of Bacterially Produced Bispecific Single-chain Fv Antibodies," <i>J. Mol. Biol.</i> , 330:99-111 (2003)
	AMM	Kortt et al., "Dimeric and trimeric antibodies: high avidity scFvs for cancer targeting," <i>Biomol. Eng.</i> , 18:95-108 (2001)
	ANN	Lebrun et al., "Antibodies to the Extracellular Receptor Domain Restore the Hormone-insensitive Kinase and Conformation of the Mutant Insulin Receptor Valine 382," <i>J. Biol. Chem.</i> , 268:11272-11277 (1993)
AMG	AOO	Li et al., "The Epitope Specificity and Tissue Reactivity of Four Murine Monoclonal Anti-CD22 Antibodies," <i>Cell. Immunol.</i> , 118:85-99 (1989)

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<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))		Applicant Shuji Ozaki et al.	
		Filing Date October 28, 2005	Group Art Unit 1643

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
AMG ↓	APP	Matsuoka et al., "A Monoclonal Antibody to the $\alpha 2$ Domain of Murine Major Histocompatibility Complex Class I that Specifically Kills Activated Lymphocytes and Blocks Liver Damage in the Concanavalin A Hepatitis Model," <i>J. Exp. Med.</i> , 198:497-503 (2003)
	AQQ	Nishii, "CD22 antibody therapy," <i>Current Therapy</i> , 20:47-50 (2001) (English translation included)
	ARR	Orita et al., "A novel therapeutic approach for thrombocytopenia by minibody agonist of the thrombopoietin receptor," <i>Blood</i> , 105:562-566 (2005)
	ASS	Ozaki et al., "A Recombinant HLA Class I-Specific Single Chain Fv Diabody Induces Cell Death in Human Lymphoid Malignancies," <i>Blood</i> , 102:933a, Abstract No. 3474 (2003)
	ATT	Rossi et al., "Development of New Multivalent-bispecific Agents for Pretargeting Tumor Localization and Therapy," <i>Clin. Cancer Res.</i> , 9:3886s-3896s (2003)
	AUU	Sato et al., "CD22 Is Both a Positive and Negative Regulator of B Lymphocyte Antigen Receptor Signal Transduction: Altered Signaling in CD22-Deficient Mice," <i>Immunity</i> , 5:551-562 (1996)
	AVV	Scheurle et al., "Cancer Gene Discovery Using Digital Differential Display," <i>Cancer Res.</i> , 60:4037-4043 (2000)
	AWW	Smith et al., "Inhibition of T Cell Activation by a Monoclonal Antibody Reactive Against the $\alpha 3$ Domain of Human MHC Class I Molecules," <i>J. Immunol.</i> , 153:1054-1067 (1994)
	AXX	Tahtis et al., "Biodistribution Properties of <sup>111</sup> Indium-labeled C-Functionalized <i>trans</i> -Cyclohexyl Diethylenetriaminepentaacetic Acid Humanized 3S193 Diabody and F(ab') <sub>2</sub> Constructs in a Breast Carcinoma Xenograft Model," <i>Clin. Cancer Res.</i> , 7:1061-1072 (2001)
	AYY	Tedder et al., "CD22, a B Lymphocyte-Specific Adhesion Molecule That Regulates Antigen Receptor Signaling," <i>Annu. Rev. Immunol.</i> , 15:481-504 (1997)
	AZZ	Thilenius et al., "Agonist antibody and Fas ligand mediate different sensitivity to death in the signaling pathways of Fas and cytoplasmic mutants," <i>Eur. J. Immunol.</i> , 27:1108-1114 (1997)
	AAAA	Xiong et al., "Efficient inhibition of human B-cell lymphoma xenografts with an anti-CD20 X anti-CD3 bispecific diabody," <i>Cancer Lett.</i> , 177:29-39 (2002)
AMG	ABBB	Xu et al., "Insight into hepatocellular carcinogenesis at transcriptome level by comparing gene expression profiles of hepatocellular carcinoma with those of corresponding noncancerous liver," <i>Proc. Natl. Acad. Sci. USA</i> , 98:15089-15094 (2001)

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	Applicant <b>Shuji Ozaki et al.</b>		
	Filing Date <b>April 8, 2005</b>	Group Art Unit <b>1614</b>	

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
AMG	AA	6,183,744	02/06/2001	Goldenberg			
AMG	AB	6,368,596	04/09/2002	Ghetie et al.			
AMG	AC	2003/0148409	08/07/2003	Rossi et al.			

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
AMG	AD	JP 10-505231	05/26/1998	Japan			see AG	
	AE	JP 2001-518930	10/16/2001	Japan			see AH	
	AF	JP 2002-544173	12/24/2002	Japan			see AI	
	AG	WO 96/04925	02/22/1996	WIPO				
	AH	WO 98/42378	10/01/1998	WIPO				
	AI	WO 00/67795	11/16/2000	WIPO				
	AJ	WO 01/74388	10/11/2001	WIPO				
	AK	WO 01/97858	12/27/2001	WIPO				
	AL	WO 02/04021	01/17/2002	WIPO				
	AM	WO 02/22212	03/21/2002	WIPO				
	AN	WO 03/033654	04/24/2003	WIPO				
AMG	AO	WO 03/104425	12/18/2003	WIPO				

Other Documents (include Author, Title, Date, and Place of Publication)		
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AMG	AP	Daniel et al., "Induction of Apoptosis in Human Lymphocytes by Human Anti-HLA Class I Antibodies," <i>Transplantation</i> , 75:1380-1386 (2003)
	AQ	Fayen et al., "Negative signaling by anti-HLA class I antibodies is dependent upon two triggering events," <i>Int. Immunol.</i> , 10:1347-1358 (1998)
	AR	Funaro et al., "Monoclonal antibodies and therapy of human cancers," <i>Biotechnol. Adv.</i> , 18:385-401 (2000)
	AS	Genestier et al., "Antibodies to HLA Class I $\alpha 1$ Domain Trigger Apoptosis of CD40-Activated Human B Lymphocytes," <i>Blood</i> , 90:726-735 (1997)
AMG	AT	Genestier et al., "Caspase-dependent Ceramide Production in Fas- and HLA Class I-mediated Peripheral T Cell Apoptosis," <i>J. Biol. Chem.</i> , 273:5060-5066 (1998)

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<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Shuji Ozaki et al.	
		Filing Date April 8, 2005	Group Art Unit 1614

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
AMG	AU	Genestier et al., "Fas-Independent Apoptosis of Activated T Cells Induced by Antibodies to the HLA Class I $\alpha 1$ Domain," <i>Blood</i> , 90:3629-3639 (1997)
	AV	Genestier et al., "T cell sensitivity to HLA class I-mediated apoptosis is dependent on interleukin-2 and interleukin-4," <i>Eur. J. Immunol.</i> , 27:495-499 (1997)
	AW	Goto et al., "A Novel Membrane Antigen Selectively Expressed on Terminally Differentiated Human B Cells," <i>Blood</i> , 84:1922-1930 (1994)
	AX	Holliger et al., "Diabodies": Small bivalent and bispecific antibody fragments," <i>Proc. Natl. Acad. Sci. USA</i> , 90:6444-6448 (1993)
	AY	Hu et al., "Minibody: A Novel Engineered Anti-Carcinoembryonic Antigen Antibody Fragment (Single-Chain Fv-C <sub>H</sub> 3) Which Exhibits Rapid, High-Level Targeting of Xenografts," <i>Cancer Res.</i> , 56:3055-3061 (1996)
	AZ	Kimura et al., "2D7 diabody bound to the $\alpha 2$ domain of HLA class I efficiently induces caspase-independent cell death against malignant and activated lymphoid cells," <i>Biochem. Biophys. Res. Commun.</i> , 325:1201-1209 (2004)
	AAA	Kreitman et al., "Cytotoxic Activity of Disulfide-stabilized Recombinant Immunotoxin RFB4(dsFv)-PE38 (BL22) toward Fresh Malignant Cells from Patients with B-Cell Leukemias," <i>Clin. Cancer Res.</i> , 6:1476-1487 (2000)
	ABB	Kulkarni et al., "Construction of a Single-Chain Antibody Derived From 5H7, A Monoclonal Antibody Specific for a Death Signaling Domain of Human Class I Major Histocompatibility Complex," <i>Transplant. Proc.</i> , 30:1081 (1998)
	ACC	Kulkarni et al., "Programmed Cell Death Signaling Via Cell-Surface Expression of a Single-Chain Antibody Transgene," <i>Transplantation</i> , 69:1209-1217 (2000)
	ADD	Matsuoka et al., "A Novel Type of Cell Death of Lymphocytes Induced by a Monoclonal Antibody without Participation of Complement," <i>J. Exp. Med.</i> , 181:2007-2015 (1995)
	AEE	Ohtomo et al., "Molecular Cloning and Characterization of a Surface Antigen Preferentially Overexpressed on Multiple Myeloma Cells," <i>Biochem. Biophys. Res. Commun.</i> , 258:583-591 (1999)
	AFF	Oka, "Development of Novel Immunotoxin Using Recombinant Alpha-Sarcin and Its Application Treatment of Hematopoietic Tumor," <i>Sankyo Seimei Kagaku Kenkyu Shinko Zaidan Kenkyu Hokokushu</i> , 12:46-56 (1998) (concise English explanation included)
	AGG	Ono et al., "The humanized anti-HM1.24 antibody effectively kills multiple myeloma cells by human effector cell-mediated cyto-toxicity," <i>Mol. Immunol.</i> , 36:387-395 (1999)
	AHH	Ozaki et al., "Humanized Anti-HM1.24 Antibody Mediates Myeloma Cell Cytotoxicity That Is Enhanced by Cytokine Stimulation of Effector Cells," <i>Blood</i> , 93:3922-3930 (1999)
	AII	Ozaki et al., "Immunotherapy of Multiple Myeloma With a Monoclonal Antibody Directed Against a Plasma Cell-Specific Antigen, HM1.24," <i>Blood</i> , 90:3179-3186 (1997)
	AJJ	Pettersen et al., "The TCR-Binding Region of the HLA Class I $\alpha 2$ Domain Signals Rapid Fas-Independent Cell Death: A Direct Pathway for T Cell-Mediated Killing of Target Cells?" <i>J. Immunol.</i> , 160:4343-4352 (1998)
	AKK	Plückthun et al., "New protein engineering approaches to multivalent and bispecific antibody fragments," <i>Immunotechnology</i> , 3:83-105 (1997)
AMG	ALL	Woodle et al., "Anti-Human Class I $\alpha 3$ Domain-Specific Monoclonal Antibody Induces Programmed Cell Death in Murine Cells Expressing Human Class I MHC Transgenes," <i>Transplant. Proc.</i> , 30:1059-1060 (1998)

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		Filing Date <b>April 8, 2005</b>	Group Art Unit <b>1614</b>

<b>Other Documents (include Author, Title, Date, and Place of Publication)</b>		
Examiner Initial	Desig. ID	Document
<b>AMG</b>	<b>AMM</b>	Woodle et al., "Anti-Human Class I MHC Antibodies Induce Apoptosis by a Pathway That Is Distinct from the Fas Antigen-Mediated Pathway," <i>J. Immunol.</i> , 158:2156-2164 (1997)
<b>AMG</b>	<b>ANN</b>	Woodle et al., "Class I MHC Mediates Programmed Cell Death in Human Lymphoid Cells," <i>Transplantation</i> , 64:140-146 (1997)

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